

### 10.6.7

#### Licensing File Consistency Procedure

1. Hard copy licensing files must be maintained for each licensed facility.
2. Hard copy files will be labeled with the name of the licensee or facility and provider ID.
3. Hard copy licensing files will be maintained with the following tabbed sections in chronological order with the most current on top:
  - a. Section One: Licenses
    - i. Current DEL License
    - ii. Past licenses\*
  - b. Section Two: Application
    - i. Copy of current application
    - ii. Past applications\*
    - iii. Letters to and from provider related to licensing and renewals
    - iv. License change request forms
    - v. Documentation of fee payment
    - vi. Proof of EIN or SSN
    - vii. Social Services Payment System (SSPS) Provider File Action Requests (PFAR)
    - viii. File review checklist
    - ix. Other
  - c. Section Three: Employee Information or Household Members
    - i. FCC Licensee
      1. Background Clearance Check
      2. Resume
      3. References
      4. Transcript\*
      5. Current First Aid/CPR
      6. HIV/AIDS training
      7. TB
      8. 20/10 hour STARS\*
      9. Photo ID
    - ii. FCC Household Members
      1. Background Clearance Check
      2. TB
    - iii. FCC Staff/Volunteers
      1. Background Clearance Check
      2. Resume
      3. Current First Aid/CPR\*
      4. HIV/AIDS training
      5. TB
      6. 20/10 hour STARS\*

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- v. Center/Director/Program Supervisor/Other Management
  - 1. Resume
  - 2. References
  - 3. Transcript
  - 4. Criminal Check Clearance letter
  - 5. 20/10 hour STARS\*
- d. Section Four: Licensing Activities
  - i. Monitoring checklists
  - ii. Licensing and renewal checklists
  - iii. Facility Licensing Compliance Agreements
  - iv. Supervisory reviews regarding FLCA
  - v. Exceptions
  - vi. Exception letters to and from licensee\*
  - vii. Provider notes
  - viii. Licensee initiated incident report- non complaint- Safety Plans
  - ix. Health Specialist activities
- e. Section Five: Complaints/Medical/Legal
  - i. Compliance Agreements, letters related to complaints
  - ii. Complaint reports, provider notes related to complaint
  - iii. Licensee initiated incident report- complaint related
  - iv. Supervisor reviews related to complaints and complaint FLCA
  - v. Police reports
  - vi. Medical reports/records
  - vii. Legal letters
  - viii. Licensing Critical Incident Reports (LCIR)
- f. Section Six: Facility Information
  - i. Floor Plan, record of measurement, capacity determination
  - ii. Septic/Water inspection- approval\*
  - iii. Fire Inspection\*
  - iv. Fire Requests\*
  - v. Fire Escape Evacuation Plan
  - vi. Disaster Plan\*
  - vii. Parent Policies
  - viii. In service training program\*
  - ix. Health Plan
    - 1. BBP Control Plan
    - 2. Pesticide Plan
    - 3. Pet Plan\*
  - x. Health Requests \*
  - xi. Insurance
    - 1. Certificate of current Insurance for Centers
    - 2. Insurance Statement for Family Child Care
  - xii. Certificate of Occupancy\*
  - xiii. Master/local Business License\*
  - xiv. Consumer Provider Safety Recall Statement (CPSC)

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- xv. Articles of Incorporation/ proof of LLC\*
- 4. New file volumes can be created during a re-licensing period. The licensor should also create a new volume if a file becomes too large to manage.
- 5. The following information should be transferred from the original file to the new volume. The original copies should move forward with the new volume. A copy should be made and placed in the original file.
  - a. For Child Care Centers:
    - i. Current license
    - ii. Latest application
    - iii. Floor plan, evacuation plan
    - iv. Record of measurement, capacity determination
    - v. Center Management Current:
      - 1. Background Clearance Check
      - 2. Resume
      - 3. Reference letters
      - 4. Transcript
    - vi. Certificate of Occupancy\*
    - vii. Fire approval
    - viii. Septic/Water inspection-approval\*
    - ix. CPSC statement
    - x. Current parent handbooks
    - xi. Current health plan
    - xii. In service training program
  - b. For Family Child Care Homes:
    - i. Current license
    - ii. Latest application
    - iii. Floor plan, evacuation plan
    - iv. Record of measurement, capacity determination\*
    - v. Fire inspection\*
    - vi. Septic/Water inspection- approval\*
    - vii. Resume
    - viii. References
    - ix. TB
    - x. First Aid/CPR
    - xi. Photo ID
    - xii. SSN or EIN
    - xiii. HIV training
    - xiv. Current parent policies
    - xv. Health plan
    - xvi. Insurance information
    - xvii. CPSC statement

\*Indicates only when applicable.